

**U. S. Department of Defense  
Defense Security Service  
Industrial Security Program**

**DSS Electronic Facility Clearance System (e-FCL)  
Submission Site User Guide**



May 2011  
Version 6.1

# e-FCL Submission Site User Guide

## Table of Contents

<b>1. Introduction</b>	3
<b>2. Registration</b>	3
<b>A. e-FCL Administrator</b>	4
<b>i. Add New User</b>	4
<b>ii. Change User Status</b>	4
<b>3. Submission Site Overview/Navigation</b>	5
<b>A. My Account</b>	5
<b>i. User Information</b>	5
<b>ii. User ID</b>	5
<b>iii. Passwords</b>	5
<b>a. Temporary Password</b>	5
<b>b. Change Password</b>	6
<b>c. Password Generator</b>	6
<b>d. Password Requirements</b>	5
<b>e. Expired or Forgotten Passwords</b>	7
<b>B. Select an Organization</b>	7
<b>C. Organization</b>	8
<b>i. Select a Package</b>	8
<b>ii. Organizational Information</b>	8
<b>iii. Change Package Type</b>	8
<b>iv. Administrator</b>	9
<b>v. Users</b>	9
<b>D. Package Information</b>	9
<b>i. Package Summary Page</b>	9
<b>ii. Package Type</b>	10
<b>iii. Package Status</b>	11
<b>4. Steps to Submit a Package</b>	11
<b>A. Step 1 – Complete Forms</b>	11
<b>B. Step 2 – Upload Documents</b>	14
<b>C. Step 3 – Requested Forms</b>	15
<b>D. Step 4 – Review Forms</b>	15
<b>E. Step 5 – Send Final Submission</b>	16
<b>5. Help</b>	16
<b>A. Contact e-FCL Help Desk</b>	16

# DSS e-FCL Submission Site User Guide

## 1. Introduction

Welcome to the Defense Security Service Electronic Facility Clearance System (e-FCL) Submission Site for Contractors. The e-FCL Submission Site is accessed via the Internet at

<https://submission.dssfcl.anl.gov>

The e-FCL Submission Site was developed for contractors to submit facility clearance applications to DSS in an electronic format. The e-FCL facility clearance application, referred to as an e-FCL “package”, is electronically reviewed and processed by DSS Industrial Security personnel using the e-FCL Processing Site. This User Guide is designed for contractors who are users of the DSS e-FCL Submission Site.



## 2. Registration

Every contractor required to submit a facility clearance application to DSS using the e-FCL Submission Site must first be registered. A DSS Representative will enter the initial registration of the contractor. Preliminary data including contact information for the designated agent of the contracting company (usually the Facility Security Officer who is the e-FCL Administrator for their company) is required. Once registered, an e-mail will be generated by the e-FCL System and sent to the e-FCL Administrator that includes a temporary password and directions to access the e-FCL Submission Site. The e-FCL Administrator will complete the contractor portion of the registration process the first time they access the e-FCL Submission Site.

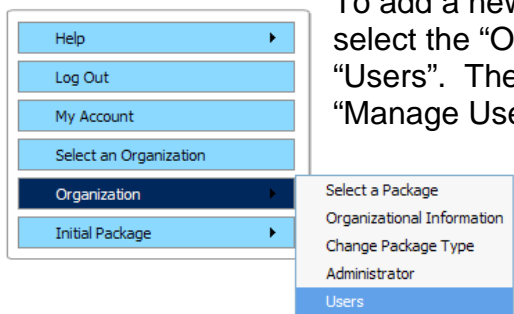
### A. e-FCL Administrator

The e-FCL Administrator is the designated agent of the company, usually the Facility Security Officer (FSO). The e-FCL Administrator has permission to add new users to the company account or transfer administrative privileges to another user. The e-FCL Administrator is the company's point of contact for e-mail correspondence generated by the system. The e-FCL Administrator needs to update the FSO point of contact whenever there is a personnel change by using the Organization tab on the main menu. When the FSO is changed an e-mail is sent to the DSS Industrial Security Representative from the e-FCL notifying them of the FSO change. The e-FCL Administrator is responsible for keeping this information updated.

### Additional Companies

A user can be assigned as the e-FCL Administrator for multiple companies. If that is the case the e-FCL Administrator will have one User ID and one password that they use to access the e-FCL Submission Site. Upon login the user can choose the "Select an Organization" menu option to choose the particular company package they wish to access.

#### i. Add New User



To add a new user for the organization, the e-FCL Administrator should select the "Organization" option from the static menu and then select "Users". The e-FCL System takes the e-FCL Administrator to the "Manage Users" page.

Click on the "Add New User" icon. The e-FCL System will redirect the e-FCL Administrator to the Add New User page.



Once the information is completed an e-mail will automatically be generated containing a temporary password and sent to the new user. If the user has an existing account, a message stating "A user with this e-mail address already exists for this organization" appears.

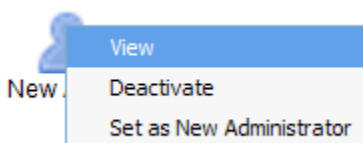
#### ii. Change User Status

On the Manage Users page, the e-FCL Administrator right clicks on the icon representing the user. A menu will display options: View, Deactivate, and Set as New Administrator.


**View** allows the e-FCL Administrator to edit User Information.

**Deactivate** renders the account inactive.

**Set as New Administrator** transfers e-FCL Administrator privileges to the user who was selected.



### 3. Submission Site Overview/Navigation

Information Icons:  appear throughout the site. Detailed instructions and definitions are provided to users when they click on Information Icons.

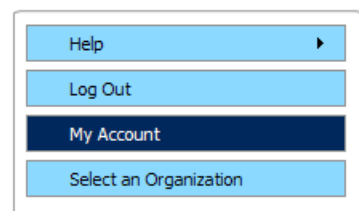
The main options on the static menu of the e-FCL Submission Site are:

My Account, Select an Organization, Organization, and Package

#### A. My Account

##### i. User Information

When choosing “My Account”, the e-FCL System redirects the user to the User Information page. Personal information can be updated. Inaccurate or incomplete information will delay the facility clearance process. Once changes are saved, the user has the option to “Select an Organization” or “Log Out” of the system.



##### ii. User ID

The e-mail address entered when the User was registered by the DSS or by the company’s e-FCL Administrator is the User ID.

##### iii. Passwords

###### a. Password Requirements

The e-FCL System requires passwords to be changed every six months. The System will send an automated reminder prior to the password expiring.

#### Password Criteria:

- Minimum of 9 characters
- Maximum of 24 characters
- Combination of upper and lower case letters
- Minimum of one number, not in the first or last position
- Minimum of one special character within the first seven positions
- Four of the characters must not have been used in previous password
- Do not use common words, names, phrases or numbers
- Avoid using simple pattern of letters or numbers

###### b. Temporary Password

Temporary passwords are issued when a User account is established. Temporary passwords are valid for 14 calendar days. If the temporary password expires or needs to be reset, contact the e-FCL Help Desk at 630.252.6566 or via e-mail at

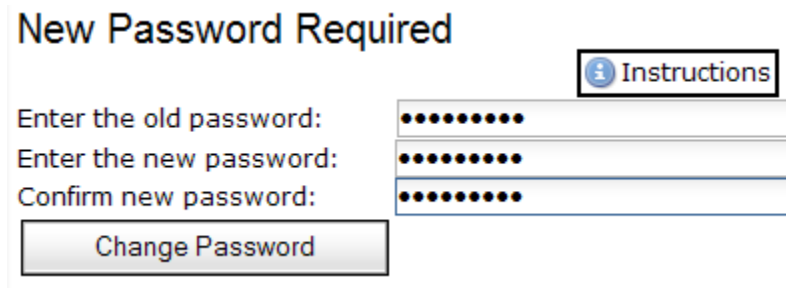
[FCLserver@anl.gov](mailto:FCLserver@anl.gov)

A temporary password has  
been e-mailed to you

The system will prompt you to change the password upon login with the temporary password.

**c. Change Password**

The system requires that the user change their password when logging into the e-FCL Submission Site for the first time with their temporary password. If the user is already active on the Submission Site they should select “My Account” on the static menu and the “Change Password” option to change their password. The temporary or old password needs to be entered prior to choosing and submitting a new password.



The form is titled "New Password Required". It includes an "Instructions" link. There are three input fields: "Enter the old password:", "Enter the new password:", and "Confirm new password:". Each field contains a series of dots representing masked text. A "Change Password" button is located at the bottom.

**d. Password Generator**



The form is titled "Change Password". It includes an "Instructions and Password Rules" link. There are three input fields: "Enter the old password:", "Enter the new password:", and "Confirm new password:". A "Change Password" button is located at the bottom. A dropdown menu is open, showing a list of randomly generated passwords. The selected password is "xE= 2M-LCH".

The system allows the user to either create a password or select from a list of randomly generated passwords that fit the required password criteria. The randomly generated passwords are provided on a drop down list.

Once the change is accepted, the system automatically logs the user out. You will be required to log in using the new password.

**Password Updated**

---

You are now logged out of the system

### ***e. Expired or Forgotten Password Reset***

If a user password has expired or been forgotten the password can be reset. Once the user enters the e-FCL Submission Site and goes to the log in page the user should enter their e-mail address and click on the “Forgot Password” link.

Email	<input type="text"/>	Forgot Password?
Password	<input type="text"/>	

The e-FCL will send an e-mail to the user with a link for the user to click on that is only valid for 30 minutes. Once the user clicks on the link they will see the “change password” page and will be instructed to enter their e-mail address, choose a new password and confirm the new password.

	<a href="#">Instructions and Password Rules</a>
Enter your e-mail address:	<input type="text"/>
Enter the new password:	<input type="password"/>
Confirm new password:	<input type="password"/>
<input type="button" value="Change Password"/>	

Once the new password is accepted by the e-FCL the log in page will be displayed and the user will need to log into the system using the new password.

Passwords are valid for six months. After six months they must be changed.

### ***B. Select an Organization***

The “Select an Organization” option is exclusively for users who are authorized to access multiple companies. The system displays the organizations including the Permanent or Temporary CAGE Code assigned.

Please select an organization

Instructions



[T36363]  
AJ Inc.



[UTPar]  
AT Ultimate Parent

Alternate Icons	
 My Company	A question mark on the icon indicates that the organization needs to add the business structure and EIN/SS number to the organization information. Clicking the icon directs the user to the contractor portion of the registration.
 My Co	A lock on the icon indicates that the current package has been Archived or Discontinued and is not accessible. Contact your DSS Industrial Security Representative to reactivate.

### a. Organization

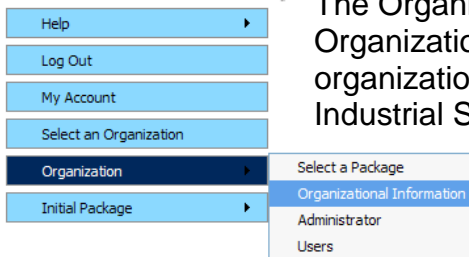
The “Organization” menu item provides information for a specific company. It offers the following options: Select a Package, Organizational Information, Administrator, and User.

#### i. Select a Package

A history of packages is maintained in the e-FCL System. The user can view the current package or previous determinations.

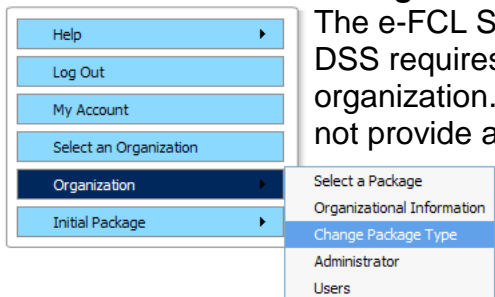
#### ii. Organizational Information

The Organizational Information menu option redirects the user to the Organizational Information Page. General information about the organization, i.e., business structure, address, and Field Office of the Industrial Security Representative that will review the e-FCL Submission, is found on this page. The information can be updated by the e-FCL Administrator or user assigned to the company.



#### iii. Change Package Type

The e-FCL Submission Site allows users to change the Package type. DSS requires that an Initial Package is completed and submitted by each organization. If the current package is an Initial Package, the system will not provide an option to change the package type.

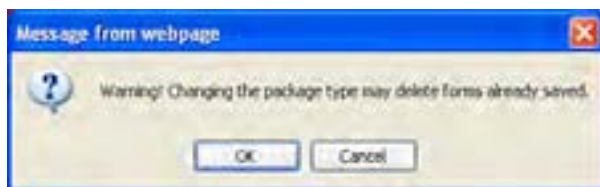


The package type can be changed for Changed Condition, KMP Update, and Annual Certification Packages. From the



static menu, select Organization and then Change Package Type.

Click on the package icon to change the package type.



Keep in mind that changing package type may delete forms that have already been saved.

#### iv. **Administrator**

The Administrator menu option redirects the user to the Administrator Page. Contact information for the e-FCL Administrator of the organization is displayed.

#### v. **Users**

The e-FCL Administrator can view and manage all users assigned to the company. All other users view only the user information for their own account.

### D. **Package Information**

#### vi. **Package Summary**

The e-FCL User can access all forms from the Package Summary Page. The company name, type of package, package status, CAGE/Facility Code and the DSS Representative's contact information are displayed.



## ***ii. Package Type***

DSS requires that all companies requesting new facility clearances submit an Initial Submission package as a baseline for the e-FCL System. If a Determination was rendered on the Initial Package and there are significant changes to the original information that need to be reported then the DSS Representative may request the organization create and submit a Changed Condition package containing the updated information.

There are six types of packages:

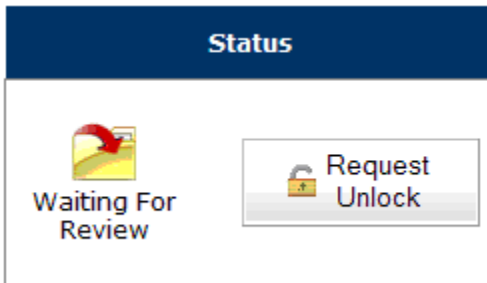
- ❖ **Initial Package** –Forms submitted by an organization to apply for a facility clearance for the first time or the first time the organization is entering data into the system.
- ❖ **Changed Condition** – Forms submitted when a significant change occurs at an organization that requires full review of an active facility clearance. This package type also allows all previously submitted information to be modified.
- ❖ **Annual Certification** – Companies operating under a Mitigation Agreement certify annually the status of the agreement, whether or not changes have occurred that impact the agreement and if so, what changes have occurred.
- ❖ **BR Annual Certification** – Board Resolution Annual Certifications are submitted by organizations operating under a Board Resolution. BR Annual Certification requires the “Annual Compliance Certification” be uploaded.
- ❖ **KMP Update** – Companies submit KMP Updates when personnel changes have occurred within their key management personnel group.
- ❖ **DD254 Update** – Companies submit DD254 Updates when additional contracts have been added for their organization or other changes have occurred that require updates to this form.

Initial Packages contain all required standard facility clearance and FOCI forms and attachments based on the business structure of the contracting entity. Different forms may be required based on the business structure of the contracting entity but certain basic forms are required for all e-FCL packages. The system will automatically display the forms the contractor must provide based on the business structure indicated when the company completed its registration in the e-FCL System.

- ▶ SF328 - Certificate Pertaining to Foreign Interests (exception: contractors operating under a consolidated SF328 or as a branch or division)
- ▶ Summary FCL Data Sheet
- ▶ Key Management Personnel (KMP) form
- ▶ Tier Parents List (when applicable)
- ▶ Separate attachments for each "yes" answer on the SF328 (when applicable)
- ▶ Electronic copies of Articles of Incorporation, By-Laws, Financial Information, and other corporate documents (when applicable)
- ▶ Resolutions for Exclusion and Mitigation Forms (when necessary these forms are requested by DSS via the e-FCL System)

- Additional forms as applicable based on business structure.

### **iii. Package Status**



The status of a package that the contractor has not yet sent to the DSS Field Office for review is referred to as “Submission Pending”. Once the package is sent and the DSS Representative begins analysis, the package is “Under Review”. If a determination has not been rendered and information needs to be updated, the e-FCL Administrator or authorized user can request to “Unlock” the active package. The DSS Representative has the authority to unlock the package in order for the contractor to make changes prior to re-submitting the package for review.

## **4. Steps to Submit a Package**

The e-FCL Submission Site provides Users with an easy five step process for completing and submitting e-FCL submission packages. The package consists of all of the forms and attachments required for a facility clearance submission. The user can navigate among the steps as needed and move in and out of the package as many times as needed before sending the final submission.

### **A. Step 1 – Complete Forms**

A minimum of three forms are required in order to process an Initial Package in the e-FCL System. Note that additional forms may be necessary depending on the contractor business structure and positive responses to questions on the SF328, the “Certificate Pertaining to Foreign Interests” form.



### Required Forms:

- e-FCL Summary Data Sheet
- Key Management Personnel List (KMP)
- Certificate Pertaining to Foreign Interest (SF328); and if applicable all attachments corresponding to “yes” responses to questions on the SF328

Note: The SF328 form is not required for Branch/Divisions or organizations that are operating under a consolidated SF328.

Initial Package

STEP 1 Complete Forms

Instructions

Certificate Pertaining to Foreign Interests (sf328)

Instructions

Certificate Pertaining to Foreign Interests (sf328) e-Form

Upload Signed and Sealed Certificate Pertaining to Foreign Interests (sf328) Document

Incomplete ! your organization is a branch/division or your tier parent is submitting a consolidated SF328

1 2 3 4 5

Click the available check boxes if a form or upload document does not apply to the organization, as noted in the diagram above. Copies of the electronic versions of the SF328 and KMP form with signatures and in the case of the SF328, corporate seals, are required. Users must complete the SF328 and KMP electronic forms, then print them and add the necessary signatures and seals. Then the user must scan and upload the signed forms into the e-FCL System using the Upload icon.

The icon on the right hand side of an accordion pane indicates the status of the form: Complete, Incomplete, Not Applicable, Updatable, or Not Required.

STEP 1 Complete Forms

Instructions

Summary FOCI Data Sheet Complete ✓

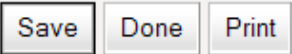
Key Management Personnel List (KMP) Incomplete !

Tier Parents List Not Applicable ⓧ

☒ Tier Parents List Form does not apply to this organization

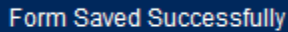
Choose “Save” for the information to be updated in the system. Once saved, select “Done” when the form is completed. Note that although the information has been saved, the e-FCL

Administrator or authorized user can return to update those forms at any time until the package is submitted to the DSS Representative.



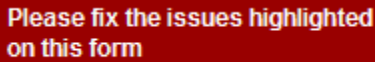
A horizontal bar containing three buttons: 'Save', 'Done', and 'Print'.

**Save:** Updates the e-FCL records of your account with the information that was entered into the form. The system will verify acceptance of the form, or if additional information is required:



A dark blue rectangular box with the text 'Form Saved Successfully' in white.

Indicates the information is stored in the e-FCL System.



A red rectangular box with the text 'Please fix the issues highlighted on this form' in white.

Indicates that additional information is required or the format entered is not accepted by the e-FCL System. The e-FCL System will highlight the section that needs to be edited.

**Done:** The user is redirected to Step 1 to complete remaining forms.

**Print:** The system translates the electronic data into a PDF form that can be saved and printed.

**Key Management Personnel (KMP) Form:** There are additional options with the electronic format of the KMP form:



The KMP form interface includes a title 'OFFICIAL USE ONLY (WHEN COMPLETED) Key Management Personnel (KMP)', an 'Instructions' icon, and two radio buttons for 'Summary' (selected) and 'Complete'. Below is a table with columns for 'Individual's Complete Name', 'All Company Titles/Positions Held', 'Social Security Number', and 'Modify Action'. The table contains one row with 'M Y Company', 'vp', and an empty SSN field. The 'Modify Action' column has 'Edit' and 'Delete' buttons. At the bottom are four buttons: 'Add Individual', 'Add Organization', 'Click when Done', and 'Print Saved Form'.

Individual's Complete Name	All Company Titles/Positions Held	Social Security Number	Modify Action
M Y Company	vp		Edit Delete

**Summary View:** Displays a synopsis of the KMP list.

**Complete View:** Displays a detailed view of the KMP list.

**Edit:** Allows the user to update the record.

**Delete:** Removes the record from the KMP list.

**Add Individual:** Provide information for each person who directly or indirectly owns or has beneficial ownership of 5 percent or more of any class of the organization's securities or who has directly or indirectly subscribed 5 percent or more of the organization's total capital commitment.

**Add Organization:** Provide information for each legal entity which directly or indirectly owns or has beneficial ownership of 5 percent or more of any class of the organization's securities or which has directly or indirectly subscribed 5 percent or more of the organization's total capital commitment.

**Click when Done:** Once entering and saving the KMP information is finished; the system redirects the user to Step 1 to complete remaining forms.

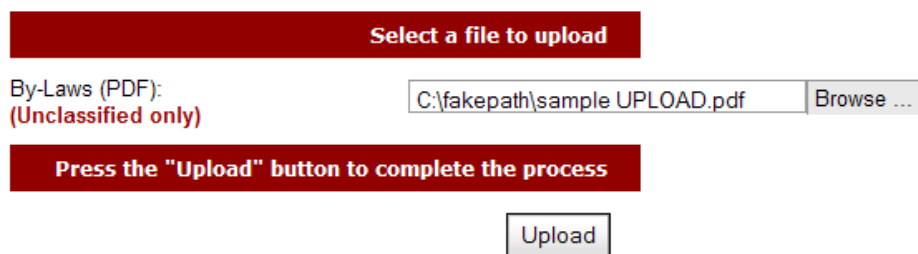
**Print Saved Form:** The system translates the electronic data into a PDF form that can be saved and printed.

### ***B. Step 2 – Upload Documents***

Accordion panes for uploading corporate documents and other files will be displayed in Step 2. The corporate documents presented to the user are dependent on the business structure of the organization and may include Articles of Incorporation, Bylaws, Meeting Minutes, agreements, and other forms. Step 2 also has separate categories for uploading DD254, DD441, and DD441-1 forms, as well as excluded parent and miscellaneous documents.

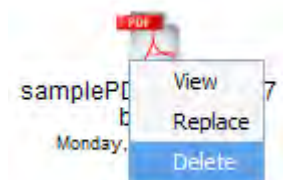
There are icons on the right side of the accordion panes that reference the status of the form: Complete, Incomplete, Not Applicable, Updatable or Not Required.

The e-FCL System directs the user to the Upload Document Page. Choose Browse to find the file that needs to be uploaded. Once the file is found, select it. Note that a temporary path will automatically appear. Click the Upload button.



The uploaded document will be added to the current package.

Right click to View/Replace/Delete uploaded documents.





### C. Step 3 – Requested Forms

Step 3 will be empty when users first access the system. If the DSS Representative requests that additional forms be completed, such as Resolution for Exclusion forms or Mitigation Instrument forms, these forms will be available to the contractor in Step 3.

The screenshot shows the 'STEP 3 Requested Forms' interface. At the top, there is a blue header with 'STEP 3' and 'Requested Forms'. Below this is a red bar labeled 'Forms Requested by the Reviewer'. Underneath, a section titled 'Resolution for Exclusion of Certain Directors or Officers' is marked as 'Complete' with a green checkmark. This section contains two items: 'Resolution for Exclusion of Certain Directors or Officers' (with a document icon) and 'Upload Signed and Sealed Resolution for Exclusion of Certain Directors or Officers Document' (with an upload icon).

Complete, save and print the form. The printed document must be signed; if the organization is a corporation, a corporate seal is required. The file must then be scanned into a PDF file and uploaded using the icon labeled “Upload Signed and Sealed.....”

### D. Step 4 – Review Forms

This step will ensure that all required documentation is complete. All of the required forms are listed as either Incomplete or Complete on the right side of the accordion pane. Links to all forms are available to review and verify the information submitted.

The screenshot shows the 'STEP 4 Review Forms' interface. At the top, there is a blue header with 'STEP 4' and 'Review Forms'. Below this is a red bar labeled 'Incomplete Forms'. Underneath, a section titled 'Certificate Pertaining to Foreign Interests (sf328)' is marked as 'Incomplete' with a yellow warning icon. This section contains two items: 'Certificate Pertaining to Foreign Interests (sf328) e-Form' (with a document icon) and 'sample UPLOAD.pdf (149657 bytes) Tuesday, November 3, 2009' (with a PDF icon). To the right of these items, there is a checkbox labeled 'your organization is a branch/division or your tier parent is submitting a consolidated SF328'. Below the 'Incomplete Forms' section is a red bar labeled 'Completed Forms'. Underneath, there are two items: 'Summary FOCI Data Sheet' and 'Key Management Personnel List (KMP)', both marked as 'Complete' with green checkmarks.

***All forms must be completed before the e-FCL will allow a final submission. Incomplete packages will not be accepted. NOTE: Once the “Send Final Submission” button has been clicked, the package is sent to DSS and is locked. The contractor will be able to view/print the forms that have been submitted. However, it is not possible to edit the information unless the DSS Representative unlocks the package.***

### ***E. Step 5 – Send Final Submission***

In order to send your final package to the DSS Representative for review, go to Step 5 and click “Send Final Submission.” The e-FCL System will verify that the package has been submitted.



## **5. Help**

### **A. Contact e-FCL Help Desk**

Additional instructions are available throughout the site. The Help Desk technical support team is located at Argonne National Laboratory in Argonne, Illinois. The staff can be reached Monday-Friday 7:00a.m. – 6:00p.m. CST at 630.252.6566 or via e-mail at [FCLserver@anl.gov](mailto:FCLserver@anl.gov)

**Welcome to the e-FCL Submission Site!**